



**North Carolina Department of Health and Human Services
Division of Mental Health, Developmental Disabilities and
Substance Abuse Services**

3001 Mail Service Center • Raleigh, North Carolina 27699-3001
Tel 919-733-7011 • Fax 919-733-1221

Michael F. Easley, Governor
Carmen Hooker Odom, Secretary

Michael Moseley, Director

September 30, 2004

MEMORANDUM

TO: Area Program Directors
Area Program Quality Improvement Staff
Area Program Provider Relations Staff
Area Program Service Management Staff

FROM: Michael Moseley

THROUGH: Flo Stein, Chief, Community Policy Management Section

RE: **New Forms for Reporting Incidents and Deaths**

The purpose of this memo is to transit the new statewide forms for documenting and reporting incidents, deaths and restrictive interventions. Effective October 1, 2004, all providers of 122C-licensed and non-licensed services, except hospitals, must use the attached ***DHHS Incident and Death Report (Form QM02)*** to report Level II and III incidents involving any person receiving publicly-funded mental health, developmental disabilities, and substance abuse services, as required by 10A NCAC 27G .0600. This form replaces the ***Critical Incident and Death Reporting Form (QM01)*** and the ***Report of Death to DHHS Form***.

The ***DHHS Restrictive Interventions Details Report (Form QM03)*** is also attached. Providers must attach this form, or a form with comparable information, to the ***DHHS Incident and Death Report (Form QM02)*** when reporting Level II and III incidents involving the use of restrictive interventions. This form may also be used to comply with the documentation requirements in 10A NCAC 27E .0104 for all use of restrictive interventions involving any person receiving mental health, developmental disabilities, and substance abuse services.

Additional details regarding requirements for responding to incidents and use of these forms can be found in the following DMH/DD/SAS memos:

- June 30, 2004, "Implementation of Permanent Rules 10A NCAC 27G .0600 Regarding LME Monitoring of Facilities and Services (SB163)"



- August 10, 2004, “Interim Steps for Implementing Permanent Rules 10A NCAC 27G .0600 Regarding LME Monitoring of Facilities and Services (SB163).”

Incident Reporting Contacts

The LMEs are responsible for ensuring that providers in their catchment areas receive these forms and information on how and when to report incidents. This information should include the LME’s mailing address and fax number, as well as telephone and email contact information. The attached forms are currently available for downloading from the Division’s website as PDF files, which can be printed and then completed by hand, and as MS Word forms, which can be completed electronically and then printed for submission. [Note that incident reports include confidential health information and may only be submitted electronically if the information is secured by encryption or other means.] In addition to the forms, a reference guide with additional information regarding the statewide incident system will be available on the Division website in the next few weeks.

Level III incident reports to the DHHS, as outlined in August 10, 2004 memo, should be submitted to the following addresses:

DMH/DD/SAS Quality Management Team
3004 Mail Service Center
Raleigh, NC 27699-3004
Fax: (919) 715-3604
Voice: (919) 733-0696
ContactDMHQuality@ncmail.net

DFS Complaint Intake Unit
2711 Mail Service Center
Raleigh, NC 27699-2711
Fax: (919) 715-7724
Voice: (800) 624-3004 or (919) 733-8499
Rita.C.Horton@ncmail.net

Any further questions regarding the incident system should be directed to:

Quality Management Team: (919) 733-0696 or ContactDMHQuality@ncmail.net

CC: Secretary Carmen Hooker Odom
Lanier Cansler
James Bernstein
DMH/DD/SAS Executive Leadership Team
Richard Slipsky
Robert Fitzgerald
Stephanie Alexander
Rita Horton
Carol Duncan Clayton
Mary Hooper
Patrice Roesler

Robin Huffman
Kaye Holder
Mike Mayer
Bob Hedrick
Mary Freeman
Curtis Bass
Dick Oliver
Jim Jarrard
Stuart Berde
Spencer Clark

